

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

Attorney Docket No.	1744.0020007/MQL/WRS
First Inventor	David F. SORRELLS
Title	Method and System for Frequency Up-Conversion
Express Mail Label No.	

C996 J. S. 267
10 04/02
ADDRESS TO:
 Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

1. Fee Transmittal Form (*e.g.*, PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 131]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings (35 U.S.C. 113) [Total Sheets 73]
5. Oath or Declaration [Total Pages 6]
 a. Newly executed (original or copy)
 b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 i. **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76.
7. CD-ROM or CD-R in duplicate, large table or Computer Program
(Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. Computer Readable Form (CRF)
 b. Specification Sequence Listing on:
 i. CD-ROM or CD-R (2 copies); or
 ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (*if applicable*)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Two (2) Return Receipt Postcards (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: Authorization under 37 C.F.R. § 1.136(a)(3)
 Other: The name of the assignee is: ParkerVision, Inc.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

CONTINUATION OF PRIOR APPLICATION NO: 09/379/497 Divisional Continuation-in-Part (CIP)
Prior application information: Examiner: Green, Miguel D. Group/Art Unit: 2681

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

Customer No. 26111



or Correspondence address below

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.	
	Attorneys at Law	

NAME (Print/Type)	Michael Q. Lee	Registration No. (Attorney/Agent)	35,239
SIGNATURE			Date March 4, 2002

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

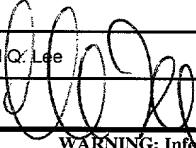
FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$) 740.00	Complete if Known
		Application Number
		To Be Assigned
		Filing Date
		Herewith
		First Named Inventor
		David F. SORRELLS
		Examiner Name
		To Be Assigned
		Group Art Unit
		To Be Assigned
		Attorney Docket No.
		1744.0020007

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:		3. ADDITIONAL FEES					
Deposit Account Number	19-0036	Large Entity Fee Code (\$)	Fee (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	
Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.L.C.						
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		105	130	205	65	Surcharge - late filing fee or oath	
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	400	216	200	Extension for reply within second month	
		117	920	217	460	Extension for reply within third month	
		118	1,440	218	720	Extension for reply within fourth month	
		128	1,960	228	980	Extension for reply within fifth month	
		119	320	219	160	Notice of Appeal	
		120	320	220	160	Filing a brief in support of an appeal	
		121	280	221	140	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,280	241	640	Petition to revive - unintentional	
		142	1,280	242	640	Utility issue fee (or reissue)	
		143	460	243	230	Design issue fee	
		144	620	244	310	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	130	123	130	Petitions related to provisional applications	
		126	180	126	180	Submission of Information Disclosure Stmt	
		581	40	481	40	Recording each patent assignment per property (times number of properties)	
		146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
		179	740	279	370	Request for Continued Examination (RCE)	
		169	900	169	900	Request for expedited examination of a design application	
		Other fee (specify) :					
		Other fee (specify) :					
		*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$)	
						0.00	

** or number previously paid, if greater. For Reissues, see above

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	Michael Q. Lee	Registration No. (Attorney/Agent)	35,239	Telephone	202-371-2600	
Signature				Date	March 4, 2002	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SKFG Rev. 10/01/01 mmac

P:\USERS\DCrooks\MQL file\1744\002.7\contin.appln filing fee transm



ATTORNEYS AT LAW

1132 U.S. PTO
03/04/02

Robert Greene Sterne
Edward J. Kessler
Jorge A. Goldstein
David K. S. Cornwell
Robert W. Esmond
Tracy-Gene G. Durkin
Michele A. Cimbala
Michael B. Ray
Robert E. Sokoni
Eric K. Steffel
Michael Q. Lee
Steven R. Ludwig
John M. Covert
Linda E. Alcorn
Robert C. Millomig
Lawrence B. Bugaisky
Donald J. Featherstone
Michael V. Messinger

Judith U. Kim
Timothy J. Shea, Jr.
Patrick E. Garrett
Jeffrey T. Helvey*
Heidi L. Kraus
Crystal D. Sayles
Edward W. Yee
Albert L. Ferro*
Donald R. Banowitz
Peter A. Jackman
Molly A. McCall
Teresa U. Medler
Jeffrey S. Weaver
Kendrick P. Patterson
Vincent L. Capuano
Albert J. Fasulo II*
Eldora Ellison Floyd
W. Russell Swindell

Thomas C. Fiala
Brian J. Del Buono*
Virgil Lee Beaston*
Reginald D. Lucas*
Kimberly N. Reddick
Theodore A. Wood
Elizabeth J. Haanes
Bruce E. Chaker
Joseph S. Ostroff
Frank R. Cottingham*
Christine M. Lhuiler
Rae Lynn Prengaman*
Jane Shershenovich*
Lawrence J. Carroll*

Senior Counsel
Samuel L. Fox
Kenneth C. Bass III

Registered Patent Agents
Karen R. Markowicz
Andrea J. Kamage
Nancy J. Leith
Joseph M. Conrad III
Ann E. Summerfield
Helene C. Carlson
Gaby L. Longsworth
Matthew J. Dowd
Aaron L. Schwartz
Angelique G. Uy
Boris A. Matvenko
Mary B. Tung

*Admitted only in Maryland
*Admitted only in Virginia
*Admitted only in Texas

1C996 U.S. PTO
10/086367

03/04/02

March 4, 2002

WRITER'S DIRECT NUMBER:
(202) 371-2674

INTERNET ADDRESS:
MLEE@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box: Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
(Continuation of U.S. Patent Appl. No. 09/379,497; Filed: August 23, 1999)
Appl. No. (To Be Assigned); Filed: Herewith
For: **Method and System for Frequency Up-Conversion**
Inventors: David F. SORRELLS *et al.*
Our Ref: 1744.0020007/MQL/WRS

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

Method and System for Frequency Up-Conversion

and naming as inventors:

David F. SORRELLS
Michael J. BULTMAN
Robert W. COOK
Richard C. LOOKE
Charley D. MOSES, Jr.

the application consisting of:

Commissioner for Patents
March 4, 2002
Page 2

- a. A specification containing:
 - i. 128 pages of description prior to the claims;
 - ii. 2 pages of claims (6 claims - 1 Independent);
 - iii. a one (1) page abstract;
 - b. 73 sheets of drawings: (Figures 1, 2A-2C, 3, 4A-4C, 5, 6A-6C, 7, 8A-8E, 9-18, 19A-19I, 20A-20C, 21A-21C, 22A-22C, 23-27, 28A-28C, 29A-29C, 30A-30C, 31A-31C, 32A-32C, 33A-33C, 34-36, 37A-37B, 38, 39A-39D, 40A-40D, 41, 42A-42E, 43, 44A-44G, 45A-45F, 46, 47, 48A-48B, 49, 50, 51A-51D, 52, 53, 54A-54C, 55, 56, 57A-57C, 58-62, 63A-63H, 64A, 64A-1, 64B-64F);
 - c. A copy of the executed Combined Declaration and Power of Attorney, as filed in U.S. Appl. No. 09/379,497;
 - d. An Application Data Sheet (37 C.F.R. § 1.76);
- 4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);
 - 5. Preliminary Amendment;
 - 6. Two (2) return postcards; and
 - 7. Our check no. 34386 for \$740.00 to cover the filing fee for patent application.

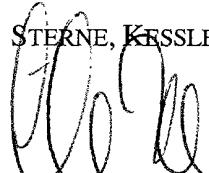
It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents
March 4, 2002
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael Q. Lee
Attorney for Applicants
Registration No. 35,239

Enclosures

P:\USERS\DCrooks\MQL_file\1744\002.7\contin. appln. filing pto cvr ltr